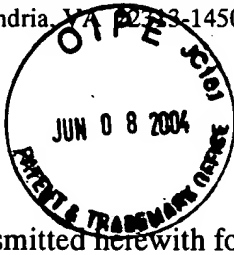


COMMISSIONER FOR PATENTS
Alexandria, VA 22313-1450



30 2163
SERIAL NO. 09/895,977 3623

IBM DOCKET NO. AUS920010235US1
DATE: June 4, 2004 JFW

Sir:

Assignee Name: International Business Machines Corporation
Assignee Residence: Armonk, New York

Transmitted herewith for filing is the Patent Application of:

Inventors: Calderaro, et al.

For: System and Method for Organizational Risk Based On Personnel Planning Factors

Enclosed are:

- ☒ Supplemental Information Disclosure Statement;
- ☒ Modified form 1449 listing 1 reference(s);
- ☒ copies of any non-U.S. Patent references listed on form 1449.

37 CFR § 1.97 is satisfied by the following:

- ☒ This Supplemental IDS is being filed pursuant to CFR § 1.197(b), therefore no fee as set forth in § 1.17(p) is believed to be due. If, however, more than three months have elapsed since the filing date and a first Office action on the merits has already been mailed, then please charge my Deposit Account No. 09-0447 the fees set forth in § 1.17(p) [\$180.00]. **A duplicate copy of this sheet is enclosed.**
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 09-0447. **A duplicate copy of this sheet is enclosed.**
- ☒ Any additional patent application processing fees under 37 CFR Sect. 1.17.

Respectfully submitted,

By Joseph T. Van Leeuwen
Joseph T. Van Leeuwen
Attorney for Applicant
Registration No. 44,383
Telephone: (512) 301-6738
Facsimile: (512) 301-6742

Certificate of Mailing Under C.F.R. §1.8(a)

I hereby certify that this correspondence was sent via First Class Mail to the United States Patent Office in an envelope with sufficient postage addressed to Commissioner for Patents, Alexandria, VA 22313-1450 on June 4, 2004.

By: Joseph T. Van Leeuwen
Joseph T. Van Leeuwen

6/4/04
Date

COMMISSIONER FOR PATENTS
Alexandria, VA 22313-1450



SERIAL NO. 09/895,977
IBM DOCKET NO. AUS920010235US1
DATE: June 4, 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	:	Group Art Unit: 2163
Calderaro, et. al.	:	Intellectual Property Law Department
Serial No.: 09/895,977	:	International Business
Filed: June 29, 2001	:	Machines Corporation
Title: <u>System and Method for</u>	:	Intellectual Property Law Dept.
<u>Organizational Risk Based On</u>	:	11400 Burnet Road
<u>Personnel Planning Factors</u>		
		Austin, Texas 78758

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

The Commissioner of Patents
Washington, D.C. 20231

Sir:

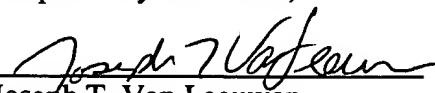
Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

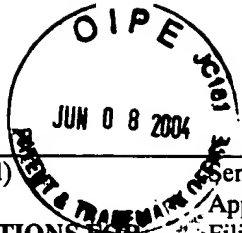
While this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such. In accordance with 37 CFR § 1.97(g) the filing of this Supplemental Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56 (a) exists.

This Supplemental Information Disclosure Statement is believed to be timely pursuant to 37 CFR § 1.97(b), therefore no additional fees are believed to be necessary. If, however, additional fees are deemed to be necessary, the Commissioner is hereby authorized to charge such fees to IBM's deposit account No. 09-0447.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 CFR § 1.98 (a)(1). A copy of each of the items on PTO-1449 is supplied herewith.

Respectfully submitted,

By 
Joseph T. Van Leeuwen
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In Place of FORM PTO-1449 (Modified)

Serial No. 09/895,977

Applicant: Calderaro, et. al.

Filing Date: 6/29/2001

Group: 2163

Atty. Docket No. AUS920010235US1

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT**

U. S. PATENT DOCUMENTS

<u>Examiner Initial</u>		<u>Document Number</u>	<u>Date</u>	<u>Name</u>	<u>Class</u>	<u>Subclass</u>	<u>Filing Date if Appropriate</u>
_____	AA	6,236,996	May 2001	Bapat et al.	707	9	
_____	AB						
_____	AC						
_____	AD						
_____	AE						
_____	AF						
_____	AG						
_____	AH						
_____	AI						
_____	AJ						
_____	AK						
_____	AL						

FOREIGN PATENT DOCUMENTS

<u>Examiner Initial</u>		<u>Document Number</u>	<u>Date</u>	<u>Country</u>	<u>Class</u>	<u>Subclass</u>	<u>Translation Yes No</u>
_____	AM						
_____	AN						
_____	AO						
_____	AP						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

<u>Examiner Initial</u>	
_____	AQ
_____	AR
_____	AS
_____	AT
_____	AU

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.